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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/574,697	05/17/2000	Paul W. Chau	18526	8633
23676	7590	05/12/2009	EXAMINER	
SHELDON MAK ROSE & ANDERSON PC			NGUYEN, VAN H	
100 Corson Street				
Third Floor			ART UNIT	PAPER NUMBER
PASADENA, CA 91103-3842			2194	
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			05/12/2009	PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

<b>Office Action Summary</b>	<b>Application No.</b>	<b>Applicant(s)</b>	
	09/574,697	CHAU ET AL.	
	<b>Examiner</b>	<b>Art Unit</b>	
	VAN H. NGUYEN	2194	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

#### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) Responsive to communication(s) filed on 03 March 2009.
- 2a) This action is **FINAL**.                    2b) This action is non-final.
- 3) Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) Claim(s) 2-9,41,43-54,68,69,78 and 79 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) Claim(s) \_\_\_\_\_ is/are allowed.
- 6) Claim(s) 2-9,41,43-54,68,69,78 and 79 is/are rejected.
- 7) Claim(s) \_\_\_\_\_ is/are objected to.
- 8) Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) The specification is objected to by the Examiner.
- 10) The drawing(s) filed on \_\_\_\_\_ is/are: a) accepted or b) objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) All    b) Some \* c) None of:
1. Certified copies of the priority documents have been received.
  2. Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)            | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)   | Paper No(s)/Mail Date. _____ .                                    |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date <u>03/03/2009</u> .  | 6) <input type="checkbox"/> Other: _____ .                        |

## **DETAILED ACTION**

1. This communication is responsive to the RCE filed 03/03/2009.

Claims 2-9, 41, 43-54, 68, 69, 78, and 79 are currently pending in this application.

### **Request Continuation for Examination**

2. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed 03/03/2009 has been entered.

### **Information Disclosure Statement**

3. The Applicants' Information Disclosure Statement, filed 03/30/2009, has been received, entered into the record, and considered. A copy of PTO 1449 form is attached.

## **Claim Rejections - 35 USC § 102**

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:  
A person shall be entitled to a patent unless –  
  
(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

Claims 2-9, 43-54, 68, and 78 are rejected under 35 U.S.C. 102(b) as being anticipated by **Carlisle et al.** (US 5649118 A).

### **As to claim 2:**

Carlisle teaches said application memory further comprises a read-only memory [see Fig.10 and the discussion beginning at col.17, line 20].

### **As to claim 3:**

Carlisle teaches said application memory further comprises an electrically erasable programmable read-only memory [see Fig.10 and the discussion beginning at col.17, line 20].

### **As to claim 4:**

Carlisle teaches said application engine further comprises a microcontroller [see Fig.10 and the discussion beginning at col.17, line 20].

**As to claim 5:**

Carlisle teaches said microcontroller further comprises said application memory [see Fig.10 and the discussion beginning at col.17, line 20].

**As to claim 6:**

Carlisle teaches said input/output module comprises a microcontroller[see Fig.10 and the discussion beginning at col.17, line 20].

**As to claim 7:**

Carlisle teaches said application engine further comprises a custom circuit [see Fig.10 and the discussion beginning at col.17, line 20].

**As to claim 8:**

Carlisle teaches said custom circuit further comprises said application memory [see Fig.10 and the discussion beginning at col.17, line 20].

**As to claim 9:**

Carlisle teaches said input/output module further comprises a custom circuit [see Fig.10 and the discussion beginning at col.17, line 20].

**As to claim 43:**

Carlisle teaches an integrated circuit card interface device (col.17, line 20-col.18, line 56 and Figs.8-14 and the associated text); comprising:

- an application memory;
- an application engine for managing one or more applications in said application memory;
- an input/output module; a host interface;
- one or more integrated circuit card interfaces; and
- an internal power supply;

wherein the interface device is adapted to enable operation in accordance with multiple modes of operation comprising

- a standalone mode of operation in which the interface device is not operably connected to any host device via the host interface, and
- a reprogramming mode of operation, in which the interface device is operably connected to an integrated circuit card via one of the one or more integrated circuit card interfaces, and/or to a host device via the host interface, to enable one or more programs to be added to, modified in, or deleted from, the interface device.

**As to claim 44:**

Carlisle teaches the standalone mode of operation comprises a mode of operation in which the interface device is operably connected to an integrated circuit card via one of the one or more integrated circuit card interfaces to enable communication between the interface device and the integrated circuit card [see Fig.10 and the discussion beginning at col.17, line 20].

**As to claim 45:**

Carlisle teaches the standalone mode of operation further comprises a mode of operation in which the interface device is not operably connected to another device to enable communication therebetween [see Fig.10 and the discussion beginning at col.17, line 20].

**As to claim 46:**

Carlisle teaches the multiple modes of operation further comprise a connected mode of operation in which the interface device is operably connected to a host device via the host interface to enable communication between the interface device and the host device [see Fig.10 and the discussion beginning at col.17, line 20].

**As to claim 47:**

Carlisle teaches during the connected mode of operation the interface device is also operably connected to an integrated circuit card via one of the one or more integrated circuit card interfaces to enable communication between the interface device and the integrated circuit card [see Fig.10 and the discussion beginning at col.17, line 20].

**As to claim 48:**

Carlisle teaches the multiple modes of operation further comprise a mode of operation in which the interface device is operably connected to a host device via the host interface to enable communication between the interface device and the host device [see Fig.10 and the discussion beginning at col.17, line 20].

**As to claim 49:**

Carlisle teaches during the connected mode of operation the interface device is also operably connected to an integrated circuit card via one of the one or more integrated circuit card interfaces to enable communication between the interface device and the integrated circuit card [see Fig.10 and the discussion beginning at col.17, line 20].

**As to claim 50:**

Carlisle teaches the standalone mode of operation comprises a mode of operation in which the interface device is not operably connected to another device to enable communication therebetween [see Fig.10 and the discussion beginning at col.17, line 20].

**As to claim 51:**

Carlisle teaches the multiple modes of operation further comprise a connected mode of operation in which the interface device is operably connected to a host

device via the host interface to enable communication between the interface device and the host device [see Fig.10 and the discussion beginning at col.17, line 20].

**As to claim 52:**

Carlisle teaches during the connected mode of operation the interface device is also operably connected to an integrated circuit card via one of the one or more integrated circuit card interfaces to enable communication between the interface device and the integrated circuit card [see Fig.10 and the discussion beginning at col.17, line 20].

**As to claim 53:**

Carlisle teaches the multiple modes of operation further comprise a connected mode of operation in which the interface device is operable connected to a host device via the host interface to enable communication between the interface device and the host device [see Fig.10 and the discussion beginning at col.17, line 20].

**As to claim 54:**

Carlisle teaches during the connected mode of operation the interface device is also operably connected to an integrated circuit card via one of the one or more integrated circuit card interfaces to enable communication between the interface device and the integrated circuit card [see Fig.10 and the discussion beginning at

col.17, line 20].

**As to claim 68:**

Carlisle teaches a display unit; and an input unit [see Fig.10 and the discussion beginning at col.17, line 20].

**As to claim 78:**

Carlisle teaches the one or more programs are subject to security verification [see Fig.10 and the discussion beginning at col.17, line 20].

**Claim Rejections - 35 USC § 103**

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

This application currently names joint inventors. In considering patentability of the claims under 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary. Applicant is advised of the obligation under 37 CFR 1.56 to point out the inventor and invention dates of each claim that was not commonly owned at the time a later invention was made in order for the examiner to consider the applicability of 35 U.S.C. 103(c) and potential 35 U.S.C. 102(e), (f) or (g) prior art under 35 U.S.C. 103(a).

Claims 41, 69, and 79 are rejected under 35 U.S.C. 103(a) as being unpatentable over **Carlisle et al.** (US 5649118 A) in view of **Abe et al.** (US 5686714 A).

**As to claim 69:**

Carlisle teaches an integrated circuit card interface device, comprising:  
an application memory; an application engine for managing one or more  
applications in said application memory; an input/output module; a host interface;  
one or more integrated circuit card interfaces; means for operation without  
external power (col.17, line 20-col.18, line 56 and Figs.8-14 and the associated  
text);

means for a standalone mode of operation in which the interface device is not  
operably connected to a host device via the host interface (col.17, line 20-col.18,  
line 56 and Figs.8-14 and the associated text); and

means for a reprogramming mode of operation for adding, modifying, or deleting  
programs from the interface device (col.17, line 20-col.18, line 56 and Figs.8-14  
and the associated text);

Carlisle teaches an integrated circuit card interface device (the smart card  
reader/writer 415). Carlisle, however, does not specifically teach the integrated  
circuit card interface device is ***portable***.

Abe teaches a portable IC card reader (see the Abstract; col.2, lines 10-58).

It would have been obvious to a person of ordinary skill in the art at the time the invention was made to modify Carlisle with Abe because it would have provided a portable IC card reader which could read and display the contents of the IC card.

**As to claim 41:**

Abe teaches the interface device is portable (see the Abstract; col.2, lines 10-58).

**As to claim 79:**

Abe teaches the interface device is operable while being carried by a user (see the Abstract; col.2, lines 10-58).

**Response to Arguments**

6. Applicant's arguments with respect to claims 2-9, 41, 43-54, 68, 69, 78, and 79 have been fully considered but are moot in view of the new ground(s) rejection.

**Conclusion**

7. The prior art made of record, listed on PTO 892 provided to Applicant is considered to have relevancy to the claimed invention. Applicant should review each identified reference carefully before responding to this office action to properly advance the case in light of the prior art.

## **CONTACT INFORMATION**

8. Any inquiry concerning this communication or earlier communications from the examiner should be directed to VAN H. NGUYEN whose telephone number is (571) 272-3765. The examiner can normally be reached on Monday-Thursday from 8:30AM - 6:00PM. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, MENG-AI AN can be reached at (571) 272-3756.

The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/VAN H NGUYEN/  
Primary Examiner, Art Unit 2194